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 INCORPORATED
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MARK L. GRINGERI,
 Plaintiff,
 vs.
 MERRILL LYNCH, PIERCE, FENNER &
 SMITH INCORPORATED, PAT
 WILLIAMS, and DOES 1 through 100,
 Defendants.

E-filing ADR

JUL 17 2008
 RICHARD W. WIEKING
 CLERK, U.S. DISTRICT COURT
 NORTHERN DISTRICT OF CALIFORNIA

FILED

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SAN JOSE DIVISION

C08 03453

CASE NO. HRL

CERTIFICATION OF INTERESTED
 ENTITIES OR PERSONS PURSUANT TO
 F.R.C.P. RULE 7.1 AND LOCAL RULE 3-
 16

[Santa Clara County Superior Court Case No.
 07CV090322]

Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure and Civil Local Rule
 3-16, the undersigned certifies that the following persons, associations of persons, firms,
 partnerships, corporations (including parent corporations) or other entities (i) have a financial
 interest in the subject matter in controversy or in a party to the proceeding or (ii) have a non-
 financial interest in that subject matter or in a party that could be substantially affected by the
 outcome of this proceeding:

1 Defendant Merrill Lynch, Pierce, Fenner & Smith Incorporated has a financial
2 interest in the outcome of this proceeding. Merrill Lynch, Pierce, Fenner & Smith Incorporated is
3 a wholly-owned subsidiary of Merrill Lynch & Co., Inc., a publicly held corporation whose
4 shares are listed and traded on the New York Stock Exchange. Merrill Lynch & Co., Inc. does
5 not have any parent corporations.

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7 DATED: July 11, 2008

MUNGER, TOLLES & OLSON LLP
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KATHERINE M. FORSTER
SORAYA C. KELLY

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10 By: 

11 KATHERINE M. FORSTER

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13 Attorneys for Defendant
14 MERRILL LYNCH, PIERCE, FENNER &
15 SMITH INCORPORATED

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